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Joyce Maule  
Name

*Joyce Maule*  
Signature

4865-104 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Xian-Ping Lu

Serial No.: 10/713,722

Group Art Unit: 1614

Filed: November 14, 2003

Examiner: TBA

Title: Noncyclic 1,3-Dicarbonyl Compounds as Dual PPAR Agonists with Potent Antihyperglycemic and Antihyperlipidemic Activity

Information Disclosure Statement

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

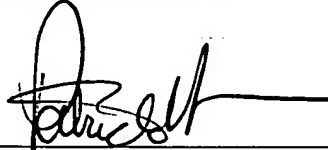
Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, Applicant hereby brings to the attention of the United States Patent and Trademark Office the following documents of which Applicant has been made aware. The documents are listed on the attached PTO Form 1449. Copies of the documents are enclosed.

Applicant submits that this Information Disclosure Statement is submitted prior to the 1<sup>st</sup> office action.

It is requested that the references be considered by the Examiner and be made of record as part of the available prior art under 37 C.F.R. § 1.104.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Patrick H. Higgins', written over a horizontal line.

Patrick H. Higgins, Reg. No. 39,709  
Attorney for Applicant

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 2

**Complete if Known**

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|------------------------|-------------------|
| Application Number     | 10/713,722        |
| Filing Date            | November 14, 2003 |
| First Named Inventor   | Xian-Ping Lu      |
| Group Art Unit         | 1614              |
| Examiner Name          | TBA               |
| Attorney Docket Number | 4865-104 US       |

**U.S. PATENT DOCUMENTS**

| Examiner<br>Initials * | Cite<br>No. <sup>1</sup> | Document Number                            | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of<br>Cited Document | Pages, Columns, Lines, Where Relevant<br>Passages or Relevant<br>Figures Appear |
|------------------------|--------------------------|--|--------------------------------|--|---|
|                        |                          | Number - Kind Code <sup>2</sup> (if known) |                                |  |   |
|                        | 1                        | US-2002/0065268 A1                         | 05/30/2002                     | Jeppesen et al.                                    |   |
|                        | 2                        | US- 6,369,055 B1                           | 04/09/2002                     | Jeppesen et al.                                    |   |
|                        |                          | US-  |                                |  |   |
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**FOREIGN PATENT DOCUMENTS**

| Examiner<br>Initials * | Cite<br>No. <sup>1</sup> | Foreign Patent Document   | Publication<br>Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited<br>Document | Pages, Columns, Lines,<br>Where Relevant<br>Passages or Relevant<br>Figures Appear | T <sup>6</sup> |
|------------------------|--------------------------|---|-----------------------------------|---|--|----------------|
|                        |                          | Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known) |                                   |   |  |                |
|                        | 3                        | WO 97/25042   | 7/17/1997                         | Smith   |  |                |
|                        | 4                        | WO 00/08002   | 2/17/2000                         | Collins   |  |                |
|                        | 5                        | WO 01/55085   | 8/02/2001                         | Mogensen, et al                                       |  |                |
|                        | 6                        | WO 02/26729 A2  | 4/04/2002                         | Sahoo, et al  |  |                |
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Examiner  
SignatureDate  
Considered

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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| First Named Inventor   | Xian-Pink Lu      |
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| Examiner Name          | TBA               |
| Attorney Docket Number | 4865-104 US       |

**OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

| Examiner<br>Initials * | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
|------------------------|--------------------------|---|----------------|
|                        | 7                        | T.M. WILSON, et al, "The PPAR's from orphan receptors to drug discovery," J. Med. Chem. 2000 43:527-550, A  |                |
|                        | 8                        | CHAWLA, et al, Nuclear receptors and lipid physiology "Opening the X-files", Science, 2001, vol 294, 1866-1870  |                |
|                        | 9                        | KELLER & WAHLI, "Peroxisome Proliferator-Activated Receptors A Link Between Endocrinology and Nutrition, TEM vol 4, No. 9, 1993, 291-296  |                |
|                        | 10                       | WANG YX et al, "Peroxisome-Proliferator-Activated Receptor o Activaaaaaates Fat Metabolism to Prevent Obesity, Cell, April 18, 2003, vol. 113, 159-170  |                |
|                        | 11                       | LEE, CH et al, Transcriptional Repression of Atherogenic Inflammation: Modulation by PPAR's, Science, vol 302, October 17, 2003, pp 453-457   |                |
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